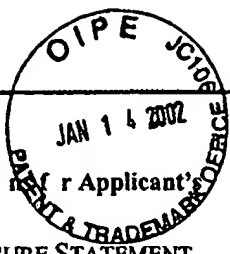


Form PTO-1449 (modified)

List of Patents and Publications of Applicant

## INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)



Atty. Docket No.

01-381

Serial No.

09/896,061

Applicant

Schmitz, et al.

Filing Date:

June 29, 2001

Group:

3628

U.S. Patent Documents

See Page 1

Foreign Patent Documents

See Page 1

Other Art

See Page 1

## U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date of App.
	A1						

## Foreign Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No
FP	B1	WO 00/57307A1	09/28/2000	PCT	G06F 17	30	

## Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
FP	C1	The National Association of Securities Dealers, Inc., "NASD Notice to Members 00-65," September 2000, (5 pages).
FP	C2	Special Study: Payment for Order Flow and Internalization in the Options Markets, <a href="http://www.sec.gov/news/studies/ordpay.htm">www.sec.gov/news/studies/ordpay.htm</a> , printed on October 19, 2001, (40 pages).

EXAMINER:

F Poinvil

DATE CONSIDERED:

3/6/06

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)

BEST AVAILABLE COPY